



## IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Viscor, et al. Examiner: Zia R. Hashmi  
Serial No.: 10/601090 Group Art Unit: 2881  
Filed: June 20, 2003 Docket No.: 01760.0001-US-01  
Confirmation No.: 6099  
Title: PLANAR ELECTRON EMITTER WITH EXTENDED LIFETIME AND  
SYSTEM USING SAME

## CERTIFICATE UNDER 37 C.F.R. 1.10:

'Express Mail' mailing number: EL 984581386 US

Date of Deposit: October 20, 2004

The undersigned hereby certifies that this Transmittal Letter and the paper or fee, as described herein, are being deposited with the United States Postal Service 'Express Mail Post Office To Addressee' service under 37 CFR 1.10 and is addressed to the Commissioner for Patents, Alexandria, VA 22313-1450.

By: Cheryl L. MillmanREQUEST AFTER ALLOWANCE FOR EXAMINER TO INITIAL REFERENCES ON  
FORM 1449

Mail Stop Issue Fee  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

The Notice of Allowability mailed October 6, 2004, does not include an acknowledgement of applicants' Supplemental Information Disclosure Statement which was filed on September 15, 2004. Applicants respectfully request the examiner to indicate for the record consideration of the information furnished therein by initializing each listed document on the Form 1449 enclosed as part of the Supplemental Information Disclosure Statement. The examiner is requested to return a copy of the initialized Form 1449 to applicants.

This request is being made upon the following facts. On September 15, 2004, applicants mailed a Supplemental Information Disclosure Statement to the Office. This Supplemental Information Disclosure Statement was received by the Office on September 20, 2004, as indicated by the return post card receipt attached in Appendix A to this paper. Inasmuch as the Supplemental Information Disclosure Statement was filed prior to the October 6, 2004 mailing date of the Notice of Allowance, the certification under 37 CFR §1.97(e)(1) remains pertinent.

The absence of an initialed PTO Form 1449 is believed to be due to Office error, inasmuch as the Supplemental Information Disclosure Statement included Form 1449 and the references were submitted in a conforming manner, and receipt was acknowledged by the Office. Applicants respectfully request the examiner to indicate consideration of the information furnished therein for the record by initializing documents A-C (WO 99/65050, EP 1 306 870 A2, and Patent Abstracts of Japan: Publication No. 2003045318 A) as listed on the Form 1449 enclosed as part of the Supplemental Information Disclosure Statement. The examiner is requested to return a copy of the initialized Form 1449 to applicants.


A copy of the Supplemental Information Disclosure Statement in question as filed, including the references, is enclosed as Appendix B for the examiner's convenience and to avoid any confusion.

The examiner respectfully is requested to telephone the undersigned if there is any question about the Request.

Respectfully submitted,  
Altera Law Group, LLC  
Customer No. 22865

Date: October 20, 2004

By:

  
\_\_\_\_\_  
David H. Carroll  
Reg. No. 29,903  
DHC/mar



Receipt is hereby acknowledged for the following in the U.S. Patent and Trademark Office

Date of Deposit: September 15, 2004

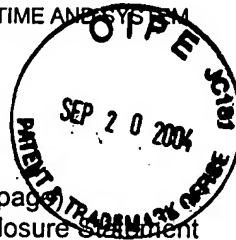
Applicant: Viscor, et al.

Title: PLANAR ELECTRON EMITTER WITH EXTENDED LIFETIME AND SYSTEM USING SAME

Serial Number: 10/601090

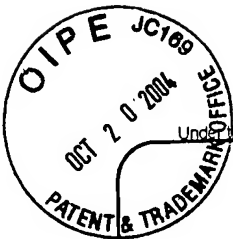
Filing Date: June 20, 2003

Docket Number: 01760.0001-US-01



- ☒ Transmittal Form (PTO/SB/21) (1 page)
- ☒ Fee Transmittal for FY 2004 (PTO/SB/17) (1 page)
- ☒ Transmittal of Supplemental Information Disclosure Statement Under 37 C.F.R. §1.97(c) (2 pages)
- ☒ Form 1449 (1 page)
- ☒ Copy of International Search Report (7 pages)
- ☒ Copies of three (3) references (3 items)
- ☒ Return postcard (1 item)

DHC/mar



10-21-04

B  
Baw

PTO/SB/21 (09-04)

Approved for use through 07/31/2006. OMB 0651-0031

U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

<b>TRANSMITTAL FORM</b>  (to be used for all correspondence after initial filing)	Application Number	10/601,090	
	Filing Date	June 20, 2003	
	First Named Inventor	Petr Viscor	
	Art Unit	2881	
	Examiner Name	Zia R. Hashmi	
Total Number of Pages in This Submission	19 pgs.	Attorney Docket Number	01760.0001-US-01

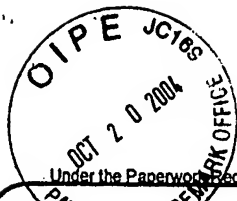
<b>plus 4 items</b>		<b>ENCLOSURES (Check all that apply)</b>	
<input checked="" type="checkbox"/> Fee Transmittal Form	<input type="checkbox"/> Drawing(s)	<input type="checkbox"/> After Allowance Communication to TC	
<input type="checkbox"/> Fee Attached	<input type="checkbox"/> Licensing-related Papers	<input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences	
<input type="checkbox"/> Amendment/Reply	<input type="checkbox"/> Petition	<input type="checkbox"/> Appeal Communication to TC (Appeal Notice, Brief, Reply Brief)	
<input type="checkbox"/> After Final	<input type="checkbox"/> Petition to Convert to a Provisional Application	<input type="checkbox"/> Proprietary Information	
<input type="checkbox"/> Affidavits/declaration(s)	<input type="checkbox"/> Power of Attorney, Revocation	<input type="checkbox"/> Status Letter	
<input type="checkbox"/> Extension of Time Request	<input type="checkbox"/> Change of Correspondence Address	<input checked="" type="checkbox"/> Other Enclosure(s) (please identify below):	
<input type="checkbox"/> Express Abandonment Request	<input type="checkbox"/> Terminal Disclaimer	Request After Allowance for Examiner to Initial References on Form 1449 with Appendices A and B (17 pages)	
<input type="checkbox"/> Information Disclosure Statement	<input type="checkbox"/> Request for Refund	Copies of three (3) references (3 items)	
<input type="checkbox"/> Certified Copy of Priority Document(s)	<input type="checkbox"/> CD, Number of CD(s) _____	Return postcard receipt (1 item)	
<input type="checkbox"/> Reply to Missing Parts/Incomplete Application	<input type="checkbox"/> Landscape Table on CD		
<input type="checkbox"/> Reply to Missing Parts under 37 CFR 1.52 or 1.53	Remarks		

<b>SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT</b>			
Firm Name	Altera Law Group, LLC		
Signature			
Printed name	David H. Carroll		
Date	October 20, 2004	Reg. No.	29,903

<b>CERTIFICATE OF TRANSMISSION</b>			
I hereby certify that this correspondence is being facsimile transmitted with sufficient postage as first class mail in an envelope on the date shown below:			
Signature			
Typed or printed name			Date

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.



PTO/SB/21 (02-04)  
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U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE  
Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

<b>TRANSMITTAL FORM</b> (to be used for all correspondence after initial filing)	Application Number	10/601,090	
	Filing Date	June 20, 2003	
	First Named Inventor	Petr Viscor	
	Art Unit	2881	
	Examiner Name	Zia R. Hashmi	
Total Number of Pages in This Submission	12 pgs.	Attorney Docket Number	01760.0001-US-01

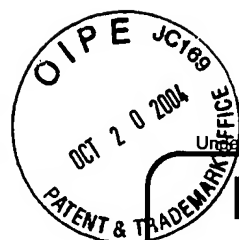
plus 3 references and 1 item ENCLOSURES (Check all that apply)		
<input checked="" type="checkbox"/> Fee Transmittal Form (1 page) <input type="checkbox"/> Fee Attached <input type="checkbox"/> Amendment/Reply <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s) <input type="checkbox"/> Extension of Time Request <input type="checkbox"/> Express Abandonment Request <input checked="" type="checkbox"/> Information Disclosure Statement (2 pages) <input type="checkbox"/> Certified Copy of Priority Document(s) <input type="checkbox"/> Response to Missing Parts/Incomplete Application <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Drawing(s) <input type="checkbox"/> Licensing-related Papers <input type="checkbox"/> Petition <input type="checkbox"/> Petition to Convert to a Provisional Application <input type="checkbox"/> Power of Attorney, Revocation <input type="checkbox"/> Change of Correspondence Address <input type="checkbox"/> Terminal Disclaimer <input type="checkbox"/> Request for Refund <input type="checkbox"/> CD, Number of CD(s) _____	<input type="checkbox"/> After Allowance communication to Group <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief) <input type="checkbox"/> Proprietary Information <input type="checkbox"/> Status Letter <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): Form 1449 (1 page) Copy of International Search Report (7 pages)
Remarks		Copies of three (3) references (3 items) Return postcard receipt (1 item)

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT	
Firm or Individual name	David H. Carroll
Signature	
Date	September 15, 2004

CERTIFICATE OF TRANSMISSION/MAILING	
I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below.	
Typed or printed name	David H. Carroll
Signature	
Date	September 15, 2004

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.



PTO/SB/17 (10-04v2)

Approved for use through 07/31/2006. OMB 0651-0032  
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

# FEE TRANSMITTAL for FY 2005

Effective 10/01/2004. Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$ ) 0

**Complete if Known**

Application Number	10/601,090
Filing Date	June 20, 2003
First Named Inventor	Petr Viscor
Examiner Name	Zia R. Hashmi
Art Unit	2881
Attorney Docket No.	01760.0001-US-01

**METHOD OF PAYMENT (check all that apply)**☐ Check ☐ Credit card ☐ Money Order ☐ Other ☒ None☒ Deposit Account:Deposit Account Number  
50-1038Deposit Account Name  
Altera Law Group, LLC

The Director is authorized to: (check all that apply)

☐ Charge fee(s) indicated below ☐ Credit any overpayments☒ Charge any additional fee(s) or any underpayment of fee(s)☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.**FEE CALCULATION****1. BASIC FILING FEE**

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1001	790	2001	395	Utility filing fee	
1002	350	2002	175	Design filing fee	
1003	550	2003	275	Plant filing fee	
1004	790	2004	395	Reissue filing fee	
1005	160	2005	80	Provisional filing fee	
SUBTOTAL (1)					(\$ ) 0

**2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE**

Total Claims		-20** =		X		=	
Independent Claims		-3** =		X		=	
Multiple Dependent						=	

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1202	18	2202	9	Claims in excess of 20	
1201	88	2201	44	Independent claims in excess of 3	
1203	300	2203	150	Multiple dependent claim, if not paid	
1204	88	2204	44	** Reissue independent claims over original patent	
1205	18	2205	9	** Reissue claims in excess of 20 and over original patent	
SUBTOTAL (2)					(\$ ) 0

\*\*or number previously paid, if greater; For Reissues, see above

**FEE CALCULATION (continued)****3. ADDITIONAL FEES**

Large Entity Small Entity

Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description	Fee Paid
1051	130	2051	65	Surcharge - late filing fee or oath	
1052	50	2052	25	Surcharge - late provisional filing fee or cover sheet	
1053	130	1053	130	Non-English specification	
1812	2,520	1812	2,520	For filing a request for <i>ex parte</i> reexamination	
1804	920*	1804	920*	Requesting publication of SIR prior to Examiner action	
1805	1,840*	1805	1,840*	Requesting publication of SIR after Examiner action	
1251	110	2251	55	Extension for reply within first month	
1252	430	2252	215	Extension for reply within second month	
1253	980	2253	490	Extension for reply within third month	
1254	1,530	2254	765	Extension for reply within fourth month	
1255	2,080	2255	1,040	Extension for reply within fifth month	
1401	340	2401	170	Notice of Appeal	
1402	340	2402	170	Filing a brief in support of an appeal	
1403	300	2403	150	Request for oral hearing	
1451	1,510	1451	1,510	Petition to institute a public use proceeding	
1452	110	2452	55	Petition to revive - unavoidable	
1453	1,370	2453	685	Petition to revive - unintentional	
1501	1,370	2501	685	Utility issue fee (or reissue)	
1502	490	2502	245	Design issue fee	
1503	660	2503	330	Plant issue fee	
1460	130	1460	130	Petitions to the Commissioner	
1807	50	1807	50	Processing fee under 37 CFR 1.17(q)	
1806	180	1806	180	Submission of Information Disclosure Stmt	
8021	40	8021	40	Recording each patent assignment per property (times number of properties)	
1809	790	2809	395	Filing a submission after final rejection (37 CFR 1.129(a))	
1810	790	2810	395	For each additional invention to be examined (37 CFR 1.129(b))	
1801	790	2801	395	Request for Continued Examination (RCE)	
1802	900	1802	900	Request for expedited examination of a design application	

Other fee (specify) \_\_\_\_\_

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$ ) 0

**SUBMITTED BY**

(Complete if applicable)

Name (Print/Type)	David H. Carroll	Registration No.	29,903	Telephone	952-253-4135
Signature		(Attorney/Agent)		Date	10/20/2004

**WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.**

This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.

Serial No. 10/601090

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Viscor, et al. Examiner: Zia R. Hashmi  
Serial No.: 10/601090 Group Art Unit: 2881  
Filed: June 20, 2003 Docket No.: 01760.0001-US-01  
Title: PLANAR ELECTRON EMITTER WITH EXTENDED LIFETIME AND  
SYSTEM USING SAME

CERTIFICATE UNDER 37 C.F.R. 1.8: The undersigned hereby certifies that this document is being deposited in the United States Postal Service, as first class mail, with sufficient postage, in an envelope addressed to: Commissioner for Patents, P.O. Box 1450 Alexandria, VA 22313-1450 on September 15, 2004.

David H. Carroll  
Name

Signature

TRANSMITTAL OF SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT  
UNDER 37 C.F.R. §1.97(c)

Mail Stop Amendment  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

Applicants respectfully submit the documents on the enclosed Form 1449 for the attention of the Examiner in the above-identified application. These documents were cited in an International Search Report in a corresponding PCT application. A copy of the International Search Report is enclosed.

The Information Disclosure Statement submitted herewith is being filed after the period specified in 37 C.F.R. 1.97(b), provided that the Information Disclosure Statement is filed before the mailing date of a Final Action under 37 C.F.R. 1.113, a Notice of Allowance under 37 C.F.R. 1.311, or an Action that otherwise closes prosecution in the application, and is accompanied by the following:

**Statement Under 37 C.F.R. 1.97(e)(1)**

- ☒ Each item of information contained in the accompanying Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the Information Disclosure Statement.

**Statement Under 37 C.F.R. 1.97(e)(2)**

- ☐ No item of information contained in the accompanying Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the undersigned person, after making reasonable inquiry, no item of information contained in the accompanying Information Disclosure Statement was known to any individual designated in 37 C.F.R. 1.56(c) more than three months prior to the filing of the Information Disclosure Statement.

- ☐ The fee in the amount of \$            as set forth in 37 C.F.R. 1.17(p).

A copy of each document or other information listed on the enclosed Form 1449 is enclosed in accordance with 37 C.F.R. §1.98(a)(2).

No representation is made that a reference is "prior art" within the meaning of 35 U.S.C. §§102 and 103. In addition, Applicants do not represent that a reference has been thoroughly reviewed or that any relevance of any portion of a reference is intended, and reserve the right to establish otherwise under 37 C.F.R. §1.131 or others.

Consideration of the items listed is respectfully requested. According to M.P.E.P. §609, Applicants request that the Examiner return a copy of the attached Form 1449, marked as being considered and initialed by the Examiner, to the undersigned with the next official communication.

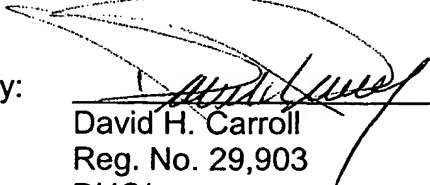
Authorization is hereby given to charge any additional fees or credit any overpayments that may be deemed necessary to Deposit Account Number 50-1038.

Respectfully submitted,

Altera Law Group, LLC  
Customer No. 22865

Date: September 15, 2004

By:

  
\_\_\_\_\_  
David H. Carroll  
Reg. No. 29,903  
DHC/mar



Serial Number  
10/601090

Filing Date  
June 20, 2003

Group Art Unit  
2881

**EXAMINER  
INITIALS**

REF

**DOCUMENT NUMBER**

DATE \_\_\_\_\_

NAME

**CLASS**

SUB-CLASS

**FILING DATE  
(IF APPROPRIATE)**

**EXAMINER  
INITIALS**

**REF**

**DOCUMENT NUMBER**

DATE \_\_\_\_\_

COUNTRY

## CLASS

SUB-CLASS

TRANSLATION

**YES**

**NO**

A
B

WO 99/65050

12/16/99

PCT

EP

**C**

Patent Abstracts of Japan: Publication No. 2003045318 A (February 14, 2003), Vol. 2003, No. 6, June 3, 2003, 1 page.

Date Considered: